

C2. Chapter 2

DoD REPORTS MANAGEMENT PROGRAM

C2.1. PURPOSE

The purpose of this chapter is to identify and describe each of the areas that comprise the DoD Reports Management Program.

C2.2. PUBLIC INFORMATION REQUIREMENTS - CHAPTER 3

C2.2.1. Public information requirements are those that require responses from members of the public; the term "public-use reports" was used frequently in past years.

C2.2.2. Public information requirements are subject to Office of Management and Budget (OMB) review and clearance and are covered by Title 5 CFR 1320 (reference (c)). Public information requirements must, unless exempt, be approved by OMB and assigned an OMB control number and expiration date to license the collection.

C2.2.3. Chapter 35 of Title 44, United States Code (reference (g)), as amended by Public Law 104-13, "The Paperwork Reduction Act of 1995," (reference (m)) establishes a broad mandate for agencies to perform their information resources management activities in an efficient, effective, and economical manner. OMB A-130 (reference (n)) implements OMB authority to provide uniform Government-wide information resources management policies as required by reference (g).

C2.2.4. Members of the public are considered to be individuals, households, private firms, companies, contractors, Federal employees in special circumstances, and others. Current Federal civilian employees and Military Personnel are considered members of the public, if the collection of information is addressed to them in their capacity as individual private citizens.

C2.2.5. Special collection requirements, as set forth in DoD 5400.11-R (reference (d)), may exist when personal information is to be collected from U.S. citizens or aliens lawfully admitted for permanent residence.

C2.2.6. Chapter 3 of this Manual issues the procedures to obtain OMB approval to collect information from the public and the requirement to provide to the responding public, either orally or in writing, an Agency Disclosure Notice (ADN).

C2.3. DoD INTERNAL INFORMATION REQUIREMENTS - CHAPTER 4

C2.3.1. DoD internal information requirements pertain to information required at any level within the DoD for internal management or to report to the Legislative or Judicial branches of the Federal Government. For the purposes of this Manual, internal information means those information requirements internal to a particular DoD Component and/or licensed by that Component.

C2.3.2. DoD internal information requirements constitute the bulk of DoD reporting and are subject to Title 41 CFR Part 101-11.103(e)(2) (reference (i)) and required by DoD Directive 8910.1 (reference (b)).

C2.3.3. OSD Components that need information from one or more DoD Components, must, unless exempt, be assigned an RCS by WHS/DIOR to license the information requirement.

C2.3.4. OSD internal information requirements that are also interagency information requirements must be submitted to the General Services Administration (GSA) for clearance in accordance with the procedures in Chapter 5 of this Manual.

C2.3.5. A statement identifying recurring OSD Internal information requirements and the assigned RCS shall be made in the Information Requirements section of the DoD issuance in accordance with DoD 5025.1-M (reference (1)).

C2.3.6. DoD Components should establish reports management programs and procedures to license their organization's internal information requirements. General information for establishing a reports control activity is provided in Chapter 4 of this Manual.

C2.3.7. Chapter 4 of this Manual issues the procedures for reviewing and licensing DoD internal information requirements imposed by the Office of the Secretary of Defense (OSD) on the DoD Components under the authority of DoD Directive 8910.1 (reference (b)). It also references the regulations and instructions (procedures) for reviewing and licensing DoD internal information requirements imposed by the DoD Components on their subordinate commands. See Chapter 4, paragraph C4.5., "DoD Component Procedures."

C2.4. INTERAGENCY INFORMATION REQUIREMENTS - CHAPTER 5

C2.4.1. Interagency information requirements are those which involve the exchange of information between Federal Agencies.

C2.4.2. Interagency information requirements must be submitted to GSA for review and clearance and are subject to the provisions of Title 41 CFR, Part 101-11.204, (reference (j)).

C2.4.3. The DoD Components that require information from one or more Federal Agencies must, unless exempt, obtain an Interagency Report Control Number (IRCN) issued by the GSA.

C2.4.4. Interagency information requirements that are also public information requirements shall be submitted to OMB for clearance in accordance with Chapter 3 of this Manual.

C2.4.5. Interagency information requirements that are also DoD internal information requirements must be licensed in accordance with the procedures in Chapter 4 of this Manual.

C2.4.6. If another Federal Agency is requesting information from one or more DoD Components, that Agency must have a valid IRCN cited on the request for information. If the request does not display a valid IRCN, and the collection is not exempt, the DoD Components are not obligated to respond.

C2.4.7. Chapter 5 of this Manual issues the procedures to license an interagency information requirement.

C2.4.8. Release of personal information to other Federal Agencies may be subject to special disclosure requirements as set forth in DoD 5400.11-R (reference (d)).

C2.5. CONGRESSIONAL INFORMATION REQUIREMENTS - CHAPTER 6

C2.5.1. Congress is exempt from OMB and GSA reports review and licensing requirements. The responding agency, in this case DoD, is not. DoD policy is to provide the same level of analysis and response provided to the other categories of reports. Analysis and licensing of recurring Congressional information requirements including reports, certifications and notifications is the responsibility of the responding DoD Component. When the response requires information from more than one DoD Component the response to the Congress shall be from the responsible OSD Component for that functional area.

C2.5.2. Congressional information requirements may be subject to DoD internal and external licensing requirements.

C2.5.3. The DoD Components must establish internal procedures necessary to manage their Congressional information requirements.

C2.5.4. Chapter 6 of this Manual provides general information on Congressional information requirements.

C2.6. SURVEYS OF DoD PERSONNEL

C2.6.1. All attitude and opinion surveys requiring the participation of military or civilian personnel in any DoD Component, other than the sponsoring Component, must be approved by OUSD(P&R) in accordance with DoD Instruction 1100.13, (reference (k)). The DoD Components and Military Departments shall coordinate their internal survey requirements with their respective survey organizations, when applicable.

C2.6.2. DoD internal report control symbols assigned to one-time surveys will expire one year from the date of issue and, unless extended, will be canceled from the inventory by WHS/DIOR after consultation with the requiring DoD Component IMCO and/or project officer. If the survey has not been conducted or completed during the year, the requiring DoD Component must request an extension.

C2.6.3. Surveys not identified in a DoD issuance or required by executive-level correspondence should be approved by an authority at a sufficient level within the organization to obligate the resources necessary to conduct the survey.

C2.6.4. Surveys conducted by the Military Departments or the Defense Agencies of personnel in one or more other DoD Components should be sponsored by their OSD Component functional area counterpart.

C2.6.5. Survey instruments used to collect information from the public should prominently display an Agency Disclosure Notice, a Privacy Act Statement (when applicable), and, in the upper right-hand corner of the cover, the OMB Control Data (control number and expiration date).

C2.6.6. Survey instruments used to collect information from other Federal Agencies should prominently display the Interagency Report Control Number in the upper right-hand corner of the survey cover.

C2.6.7. Survey instruments used to collect information from the DoD Components should prominently display the DoD Internal Report Control Symbol in the upper right-hand corner of the cover.

C2.6.8. Survey instruments used to collect information from a combination of the public, other Federal Agencies and the DoD Components should prominently display the OMB Control Data, the

Interagency Report Control Number and the DoD Internal Report Control Symbol in the upper right-hand corner of the cover, as applicable.

C2.7. DEFINITIONS - GENERAL

C2.7.1. Data Transmission. Data transmission consists of activities involved in the delivery of system outputs to users.

C2.7.2. Documentation. The documents or records containing information on the organization, functions, policies, decisions, procedures, and essential transactions of agency reports management activities.

C2.7.3. Flowchart. A diagram that shows the step-by-step progression through a procedure or system especially using connecting lines and a set of conventional symbols.

C2.7.4. General Purpose Statistics. Statistics collected primarily for public and general government use, without reference to policy or program operations of the agency collecting the information. Agencies should conduct statistical surveys that are designed to produce results that can be generalized to the universe of the study.

C2.7.5. Information Collection Request. A written or verbal report, application, schedule, survey, questionnaire, reporting or recordkeeping requirement, or other similar method calling for the collection of information.

C2.7.6. Information Management Control Officer. The single point of contact within an OSD or DoD Component responsible for the establishment, revision, and cancellation of information requirements.

C2.7.7. Information Requirement. The functional area expression of need for data or information to carry out specified and authorized functions or management purposes that require the establishment or maintenance of forms and formats, or reporting or recordkeeping systems, whether manual or automated.

C2.7.8. Information Resources Management. The planning, budgeting, organizing, directing, training, and administrative control associated with Federal Government information resources. The term encompasses both information itself and the related resources, such as personnel, equipment, funds, and information technology.

C2.7.9. Management Information. Management information is data or information needed for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be in narrative, statistical, graphic, or other form, and may be displayed on paper documents, magnetic tapes, terminal responses, or in other forms.

C2.7.10. Methods of Collection. The mechanism, or method, by or through which a Federal Agency conducts or sponsors a collection of information.

C2.7.10.1. The method used does not affect the requirement that the information collection be approved and symbolized.

C2.7.10.2. Written reports, applications, schedules, surveys, questionnaires, reporting or recordkeeping requirements, or other similar methods are collections of information. They may be conducted by mail or through personal or telephone interviews, group interviews, communicated via electronic media, automated collection techniques, Federal regulation, or any other approach through which the respondent or potential respondent can be informed of the questions to which response is requested or required.

C2.7.10.3. Similar methods may include contracts, agreements, policy statements, plans, rules or regulations, planning requirements, circulars, directives, instructions, bulletins, requests for proposal or other procurement requirements, interview guides, disclosure requirements, labeling requirements, telegraphic or telephonic requests, and standard questionnaires used to monitor compliance with agency requirements.

C2.7.11. Need. Some programmatic or policy necessity or requirement exists, including Congressional requirements.

C2.7.12. Practical Utility. The usefulness of the information being collected (considering its accuracy, adequacy, and reliability) to carry out the Agency's functions in a timely manner.

C2.7.13. Privacy Act (Section 552a, Title 5, USC (reference (o))). The Act regulates the collection, maintenance, use, and disclosure of personal information by Federal agencies. When surveys of DoD personnel are subject to the provisions of the Act, the agency must establish procedures, consistent with and pursuant to the requirements of DoD 5400.11-R (reference (d)), to ensure that the personal privacy of the individual is protected.

Note: DoD Components should establish procedures for identifying reports containing personal information and information protected by the Privacy Act for preventing the disclosure of such information to unauthorized individuals or organizations.

C2.7.14. Program. The particular activity for which a manager is responsible at any organization level.

C2.7.15. Program Element. A function or segment of the program. Program elements constitute all the functions of a particular program.

C2.7.16. Purpose. The collection of information will, or is expected to, achieve a result within the statutory, programmatic or policy requirements of the sponsoring Agency, and will, or is expected, to be used on a timely basis.

C2.7.17. Report. Data or information that is prepared for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative decisions or preparing other reports. The data or information may be graphic or in another form, and may be on paper, magnetic tapes, on or through the World Wide Web, or other media.

C2.7.18. Reports Management Function. This function includes the reports, forms, magnetic tapes, disks, and other media of internal Agency systems or procedures as well as the reporting systems themselves. The reports management function is primarily concerned with public, interagency, DoD internal and Congressional information requirements.

C2.7.19. Sampling. A technique for extracting a finite part of a statistical population whose properties are studied to gain information about the whole.

C2.7.20. Surveys of Persons. Systematic data collections, using personal or telephonic interviews, or self-administered questionnaires, from a sample of ten or more persons as individuals or representatives of Agencies, which solicit attitudes, opinions, behavior, and related demographic, social and economic data to identical questions including those that are to be used for statistical compilations for research and/or policy assessment purposes.

C2.7.21. Unnecessary Duplication. Information exactly alike or corresponding to information that could serve the Agency's purpose and need is already available to the Agency.

C2.8. PUBLISHED LISTINGS

C2.8.1. OMB, Office of Information and Regulatory Affairs, publishes the "List of Active Reports Approved Under the Federal Reports Act" on a monthly basis. This report contains the official status of the reports approved by OMB as of that point in time and serves as the official record of burden hours being expended by the public. This report is used in the formulation of the upcoming fiscal year Information Collection Budget (ICB).

C2.8.2. GSA, Office of Information Resources Management, publishes the annual "Inventory of Approved Interagency Reports." The listing is sorted by agency and provides the Interagency Report Control Number, report title, prescribing directive, respondents, and expiration date.

C2.8.3. WHS/DIOR publishes DoD 8910.1-L (reference (p)) as required by DoD Directive 8910.1 (reference (b)). The listing provides information on active, canceled and expired DoD internal and interagency reporting requirements and information on active and canceled public information collections. Active listings for these information collections are published monthly on the Internet under DefenseLINK, Publications.

C2.8.4. WHS/DIOR prepares and distributes monthly reports containing information on DoD internal, interagency, and public information requirements. The reports are primarily for use by OSD Component IMCOs in managing their programs. The reports provide information on reporting requirements that have been added, canceled, revised, have expired or that will expire in the next 90 days.

C2.8.5. WHS/DIOR maintains a "Listing of Recurring Congressional Reports" containing active recurring reporting requirements found in Public Law or the United States Code. The listing is updated as required and published on the Internet under DefenseLINK, Publications for reference by all DoD Component IMCOs and their Congressional liaison counterparts.

C2.8.6. WHS/DIOR from time to time will forward special reports to advise IMCOs of the status of their reports programs. IMCOs may request special reports from WHS/DIOR at any time.

C2.9. RESPONSIBILITIES

C2.9.1. DoD Components. Each DoD Component, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of its information requirements.

It is the responsibility of the DoD Components to:

C2.9.1.1. Not respond to unlicensed information requirements that are not exempt;

C2.9.1.2. Establish a reports control activity under the Chief Information Officer as required by DoD Directive 8910.1 (reference (b)) and to assign an IMCO, Reports Manager, Reports Control Liaison, Officer, or Specialist to serve as the key point of contact;

C2.9.1.3. Process, assign, extend, reinstate, and cancel their internal information requirements;

C2.9.1.4. Coordinate cross component information collections that require attitude/opinion surveys with OUSD(P&R) in accordance with DoD Instruction 1100.13 (reference (k));

C2.9.1.5. Submit requests for information collections from the public and other Federal Agencies to WHS/DIOR;

C2.9.1.6. Notify WHS/DIOR when unlicensed or expired reporting requirements are imposed; and

C2.9.1.7. Notify WHS/DIOR of actions taken to stop information collections, which have not been approved, when identified within their component.

C2.9.2. OSD Components. Each OSD Component, in providing for effective controls over the creation of records, is expected to establish an appropriate program for the management of its information requirements. It is the responsibility of OSD Components to:

C2.9.2.1. Not respond to unlicensed information requirements that are not exempt;

C2.9.2.2. Assign an IMCO to serve as the key point of contact;

C2.9.2.3. Submit requests through the OSD Component IMCO to WHS/DIOR for public, interagency, and DoD internal and survey information requirements;

C2.9.2.4. Establish and implement standards and procedures for initiating, identifying, reviewing, approving, preparing, distributing, and discontinuing DoD internal information requirements;

C2.9.2.5. Ensure that issuances containing OSD internal information requirements are updated in accordance with applicable Directives;

C2.9.2.6. Provide for the periodic review of approved reports for need, adequacy, design, and economy of preparation and use;

C2.9.2.7. Ensure that all surveys are coordinated with the OUSD(P&R);

C2.9.2.8. Establish and implement standards and procedures for designing management information systems, including the design of reports used in those systems;

C2.9.2.9. Notify WHS/DIOR when unlicensed or expired reporting requirements are imposed;

C2.9.2.10. Notify WHS/DIOR of actions taken to stop information collections, which have not been approved, when identified within your component; and

C2.9.2.11. Ensure that all surveys, if subject to the provisions of The Privacy Act of 1974 (reference (o)), satisfy the requirements of DoD 5400.11-R (reference (d)).

C2.9.3. Information Management Control Officer (IMCO). The responsibilities of the OSD Component IMCOs are to:

C2.9.3.1. Serve as a technical advisor to program managers and administrators on matters concerning information requirements;

C2.9.3.2. Review and screen requests for public, interagency, DoD internal and survey information requirements;

C2.9.3.3. Process documentation requirements to assign, extend, reinstate, and cancel their public, interagency, DoD internal and survey information requirements;

C2.9.3.4. Manage the Information Collection Budget (ICB) for their organizations;

C2.9.3.5. Resolve problems associated with the reports management function relative to their respective organizations and missions;

C2.9.3.6. Maintain inventories and records of the information collections under their cognizance;

C2.9.3.7. Participate in internal or DoD-wide reviews of reports and reports management activities;

C2.9.3.8. Notify WHS/DIOR when unlicensed or expired reporting requirements are imposed; and

C2.9.3.9. Distribute approval notices from OMB, GSA, WHS/DIOR and their respective Headquarters to their appropriate offices.

C2.9.4. OASD(C3I) is assigned the overall policy for the DoD Reports Management Program and is responsible for:

C2.9.4.1. Publishing DoD Directive 8910.1 (reference (b));

C2.9.4.2. Establishing annual report reduction goals; and

C2.9.4.3. Formulating the DoD ICB.

C2.9.5. WHS/DIOR is responsible for the overall operation of the DoD Reports Management Program, which includes:

C2.9.5.1. Processing DoD public and interagency information requirements and approving OSD internal information requirements;

C2.9.5.2. Publishing this Manual;

C2.9.5.3. Publishing the DoD 8910.1-L (reference (p));

C2.9.5.4. Publishing, annually, the "Program Activity Reports" for forwarding to the IMCOs;

C2.9.5.5. Publishing the "Listing of Recurring Congressional Information Requirements";

C2.9.5.6. Advising OASD(C3I) on annual reports control activity and recommending reports reduction reviews;

C2.9.5.7. Conducting DoD-wide reports reduction reviews in coordination with DoD Component IMCOs and their Congressional liaison counterparts; and

C2.9.5.8. Executing the ICB.

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